

12-17-01

A

CERTIFICATE OF MAILING

I hereby certify that on November 30, 2001, this paper (along with any paper referred to as being attached or enclosed) is being deposited with the United States Postal Service with sufficient postage in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231.

37 C.F.R. § 1.8(a)

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37 C.F.R. § 1.10

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*Patricia Meade*  
Patricia Meade

UTILITY PATENT APPLICATION TRANSMITTAL  
(Only for new nonprovisional applications under 37 CFR 1.53(b))

Docket No. : 12569-15/NEC  
Inventor(s) : Bin Zhao  
Title : LOW DISPERSION FILTERS

Express Mail Label No. : EL595991275US

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, D.C. 20231

Date: November 30, 2001

1. X FEE TRANSMITTAL FORM (Submit an original, and a duplicate for fee processing).

2. X Applicant claims small entity status under 37 CFR §1.27.

3. IF A CONTINUING APPLICATION

X This application is a continuation-in-part of patent application No. 09/876,647 which was filed on June 7, 2001 (Docket No. 12569-13).

— This application claims priority pursuant to 35 U.S.C. §119(e) and 37 CFR §1.78(a)(4), to provisional Application No. \_\_\_\_\_, filed \_\_\_\_\_ (Docket No. \_\_\_\_\_).

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied is supplied under item 4c below, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

4. APPLICATION COMPRISED OF

(a) Specification

54 Specification, claims and Abstract (total pages)

(b) Drawings

10 Sheets of drawing(s) (FIGS. 1 to 28)

(c) Declaration and Power of Attorney

X Newly executed

— Copy from a prior application (37 CFR 1.63(d))  
(for continuation and divisional)

— An unsigned declaration

**FEE TRANSMITTAL  
UTILITY PATENT APPLICATION**

**DATE: November 30, 2001**

Docket No. : 12569-15/NEC  
Inventor(s) : Bin Zhao  
Title : LOW DISPERSION FILTERS

| FEE CALCULATIONS |  |  |              |                      |              |
|------------------|--|--|--------------|----------------------|--------------|
| CLAIMS           |  | NUMBER FILED                             | NUMBER EXTRA | RATE                 | CALCULATIONS |
| A                | TOTAL CLAIMS                             | 5 - 20 = <15>                            | 0            | 0 x \$9.00           | \$0.00       |
| B                | INDEPENDENT CLAIMS                       | 2 - 3 = <1>                              | 0            | 0 x \$40.00          |              |
| C                | SUBTOTAL                                 | SMALL ENTITY FEE =<br>LARGE ENTITY FEE = |              | A + B<br>2 X (A + B) | \$0.00       |
| D                | BASIC FEE                                | SMALL ENTITY FEE =<br>LARGE ENTITY FEE = |              | \$370.00<br>\$740.00 | \$355.00     |
| E                | MULTIPLE-DEPENDENT CLAIMS FEE            | SMALL ENTITY FEE =<br>LARGE ENTITY FEE = |              | \$140.00<br>\$280.00 |              |
| F                | TOTAL FILING FEE (ADD LINES C, D, AND E) |  |              |                      | \$370.00     |

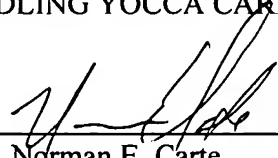
List Independent Claims: 1 and 5

**METHOD OF PAYMENT**

- ☒ Payment Enclosed: Check for \$ 370.00
- ☒ The Commissioner is hereby authorized to charge any fees under 37 CFR 1.16 and 1.17 which may be required during the **entire pendency** of the application to Deposit Account No. 501329. Please show our docket number with any charge or credit to our Deposit Account. **A copy of this letter is enclosed.**
- ☐ No payment is enclosed.

Respectfully submitted,

STRADLING YOCCA CARLSON & RAUTH

By   
Norman E. Carte  
Reg. No. 30,455

**UTILITY PATENT APPLICATION TRANSMITTAL**  
**(Only for new nonprovisional applications under 37 CFR 1.53(b))**

Docket No.: 12569-15/NEC

5. ☐ **Microfiche Computer Program** (*Appendix*)
6. ☐ **Nucleotide and/or Amino Acid Sequence Submission** (*if applicable, all necessary*)
- ☐ Computer Readable Copy
- ☐ Paper Copy (identical to computer copy)
- ☐ Statement verifying identity of above copies

**7. ALSO ENCLOSED ARE**

- ☐ Preliminary Amendment
- ☐ Petition for Extension of Time for the parent application and the required fee are enclosed as separate papers
- ☐ An Assignment of the invention with the Recordation Cover Sheet and the recordation fee are enclosed as separate papers
- ☐ 37 CFR 3.73(b) Statement (where there is an Assignee)
- ☐ This application is owned by pursuant to an Assignment recorded at Reel \_\_, Frame \_\_
- ☐ Information Disclosure Statement (IDS)/PTO-1449
- ☐ Copies of IDS Citations
- ☐ Certified copy of Priority Document(s) (*if foreign priority is claimed*)
- ☐ English Translation Document (*if applicable*)
- ☒ Return Receipt Postcard (MPEP 503) (should be specifically itemized).
- ☐ Other

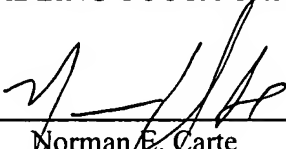
**8. CORRESPONDENCE ADDRESS**

Please address all correspondence to **STRADLING YOCCA CARLSON & RAUTH, IP**  
**Department, P.O. Box 7680, 660 Newport Center Drive, Suite 1600, Newport Beach, California**  
**92660-6441.**

Respectfully submitted,

STRADLING YOCCA CARLSON & RAUTH

By

  
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NEC/pm